



Docket No. SNX-028

2644

#8  
S-1

12-29-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Erik W. Rasmussen

SERIAL NO.: 09/927,771

FILING DATE: August 10, 2001

TITLE: SOUND PROCESSING SYSTEM INCLUDING FORWARD  
FILTER THAT EXHIBITS ARBITRARY DIRECTIVITY AND  
GRADIENT RESPONSE IN SINGLE WAVE SOUND  
ENVIRONMENT

RECEIVED

EXAMINER: [not yet assigned]

OCT 23 2003

ART UNIT: 2644

Technology Center 2600

CERTIFICATE OF MAILING

I hereby certify that this paper is being deposited with the United States Postal Service as First Class

Mail in an envelope addressed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450, on the date  
printed below:

Date: 10/8/03

Name: Monica Pizarro

COMMISSIONER FOR PATENTS  
P. O. BOX 1450  
ALEXANDRIA, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Each item of information listed in the attached FORM PTO-1449, for which a  
copy of each is attached, may be material to the examination of the above-identified  
application and is, therefore, submitted in compliance with the duty of disclosure defined  
in 37 CFR §§ 1.56, 1.97 and 1.98. The Examiner is requested to make these items of  
official record in this application.

This Information Disclosure Statement under 37 CFR §§ 1.56, 1.97 and 1.98 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one or more of these items constitutes prior art.

## I

This statement is filed pursuant to:

(X) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; (3) before the mailing date of a first office action on the merits, or (4) before the mailing of a first office action after the filing of a Request for Continued Examination under 37 C.F.R. § 1.114, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

( ) 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97 (b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113; (2) a notice of allowance under 37 C.F.R. § 1.311; or (3) an action that otherwise closes prosecution in the application.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17 (p) for submission of an information disclosure statement under 37 C.F.R. § 1.97 (c) (\$180); or a certification according to 37 C.F.R. § 1.97 (e).

( ) 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97 (c).

Accordingly, this information disclosure statement requires the fee specified in 37 C.F.R. § 1.17 (p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$180), and a certification according to 37 C.F.R. § 1.97(e).

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

## II

- (X) No fee is due.
- ( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$180).

Please charge any additional required fee or credit any overpayment to our deposit account number 50-1698. An additional copy of this page is enclosed.

## III

Pursuant to 37 C.F.R. § 1.97(e), I certify:

- ( ) No certification is necessary.
- (X) (1) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the statement.
- ( ) (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

Respectfully submitted,  
THELEN REID & PRIEST LLP



David B. Ritchie  
Reg. No. 31,562

Dated: October 7, 2003

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09/927,771

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Form PTO 1449  
(Rev. 2-32)U.S. Department of Commerce  
Patent and Trademark OfficeAtty. Docket No.  
SNX-028

## Information Disclosure Statement by Applicant

Applicant: Erik W. Rasmussen

Filed: 8/10/01

Group: 2644

(Use several sheets if necessary)

## U.S. Patent Documents

Init.		Document No.	Date	Name	Class	Subclass	Filing Date
	A	3,057,960	10/09/62	J. F. Kaiser	179	1	03/13/61
	B	5,602,962	02/11/97	Kellermann	395	2.35	09/07/94
	C	5,694,474	12/02/97	Ngo et al.	381	66	09/18/95
	D	5,836,790	11/17/98	Barnett	439	620	10/10/96
	E	5,978,490	11/02/99	Choi et al.	381	92	12/24/97
	F	6,023,514	02/08/00	Strandberg	381	94.7	12/22/97
	G	6,157,403	12/05/00	Nagata	348	171	08/04/97
	H	6,160,757	12/12/00	Tager	367	119	08/20/98
	I	6,317,703	11/13/01	Linsker	702	190	10/17/97

## Foreign Documents

Translation

Init.		Document No.	Date	Country	Class	Subclass	Yes	No
	J	0 795 851	09/17/97	Europe	G10L 3	00	X	
	K	0 831 458	03/25/98	Europe	G10L 5	02	X	
	L	0 883 325	12/09/98	Europe	H04R 3	00	X	
	M	0 942 628	09/15/99	Europe	H04R 25	00	X	
	N	1 091 615	04/11/01	Europe	H04R 3	00	X	
	O	195 40 795	05/07/97	Germany	04R 1	40		X
	P	95/34983	12/21/95	PCT	H04M 1	19	X	
	Q	99/45741	09/10/99	PCT	H04R		X	
	R	01/10169	02/08/01	PCT	H04R 25	00	X	

## Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)

	S	Hanson et al., "Cascade Sample Matrix Inversion Arrays", 1990, IEEE, pp. 36.5.1 -36.5.5 (in French)
	T	Kellermann, Walter, "A Self-Steering Digital Microphone Array", 1991, IEEE, pp. 3581-3584.
	U	Lleida et al., "Robust Continuous Speech Recognition System Based on a Microphone Array", 1998, IEEE, pp. 241-244.
	V	Mahmoudi, Djarnila, "Speech Source Localization Using A Multi-Resolution Technique", 1998, IEEE, pp. 161-165.
	W	Zhang et al., "Adaptive Beamforming By Microphone Arrays", 1995, IEEE, pp. 163-167.
	X	International Search Report based on PCT/EP02/09022, dated September 8, 2003.
	Y	International Search Report based on PCT/EP02/09031, dated September 8, 2003.

Examiner

Date Considered

Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.